

California State Agency Guidance:

Homeland Security Advisory System



March 20, 2003

Purpose

As memorialized in Homeland Security Presidential Directive 3, the Federal Government has implemented the Homeland Security Advisory System to provide a comprehensive and effective means to disseminate information regarding the risk of terrorist acts. The system provides warnings in the form of a set of graduated "Threat Conditions" that would increase as the risk of the threat increases. At each Threat Condition, State departments and agencies would implement a corresponding set of "Protective Measures" to further reduce vulnerability or increase response capability during a period of heightened alert. This document describes the Threat Conditions and provides guidance in creating and implementing the protective measures for State departments and agencies. The content and format were developed from existing, available information and input from the Intelligence and Early Warning Subcommittee of the State Strategic Committee on Terrorism. Each State department and agency is responsible for determining what actions and plans are appropriate to that department or organization.

Federal Homeland Security Advisory System

There are five Threat Conditions, each identified by a description and corresponding color. From lowest to highest, the colors and levels are:

RED	SEVERE – A Severe risk of terrorist attacks
ORANGE	HIGH – A high risk of terrorist attacks
YELLOW	ELEVATED – A significant risk of terrorist attacks
BLUE	GUARDED – A general risk of terrorist attacks
GREEN	LOW – A low risk of terrorist attacks

The higher the Threat Condition, the greater the risk of a terrorist attack. Risk includes both the probability of an attack occurring and its potential gravity. Threat Conditions may be for the entire State, or may be set for a particular geographic area or industrial sector.

The assignment of a Threat Condition will prompt the implementation of an appropriate set of protective measures. The protective measures are the specific steps an organization should take to reduce its vulnerability or increase its ability to respond during a period of heightened alert. It is recognized that departments and agencies may have several preplanned sets of responses to a particular Threat Condition to facilitate a rapid, appropriate, and tailored response. Department and agency heads are responsible for developing their own protective measures and other antiterrorism or self-protection and continuity plans, as well as resourcing, rehearsing, documenting, and maintaining these plans. Likewise, they retain the authority to respond, as necessary, to risks, threats, incidents, or events at facilities within the specific jurisdiction of their department or agency, and, as authorized by law, to direct agencies and industries to implement their own protective measures. They will continue to be responsible for taking all appropriate proactive steps to reduce the vulnerability of their personnel and facilities to terrorist attack.

Protective Measures

Protective measures and activities for state agencies are recommended actions, not required actions. While each state agency should implement measures/activities appropriate to its own operating environment, the following general guidelines apply:

- The threat/risk goes up with each successive level.
- Responses are additive; each level incorporates all activities from the previous levels.
- Threat information may be general or indicated for different geographical regions of the state.
- Specific implementation must be determined by each agency in light of actual events; protective measures for a higher level than officially designated may be implemented by each agency. For example, if the threat advisory level is elevated from "Yellow" to "Orange" an agency may elect to implement not only "Orange" level suggested protective measures, but also some "Red" level protective measures.
- Measures are numbered for ease of use. For example, an organization may wish to state that it has implemented all measures for YELLOW, but added measures 70 and 73, etc.

The following pages present specific protective measures in response to the Homeland Security Advisory System [HSAS] threat level conditions.

Recommended Protective Measures: GREEN – Low Condition

This condition is declared when there is a *low* risk of terrorist attacks.

Measure 1. Reviewing and revising current Emergency and Business Continuity/Resumption Plans to include mitigation and contingency planning for conditions that current plans do not address such as biological, nuclear, incendiary, chemical, explosive threats and exposure

Measure 2. Ensure the agency is familiar with all of the requirements of the Standardized Emergency Management System (SEMS). All State agencies must comply with these requirements. Contact the Governor's Office of Emergency Services for further information.

Measure 3. Refining and exercising, as appropriate, preplanned Protective Measures.

Measure 4. Ensuring personnel receive proper training on the Homeland Security Advisory System and specific preplanned department or agency Protective Measures.

Measure 5. Institutionalizing a process to assure that all facilities are regularly assessed for vulnerabilities to terrorist attacks, and all reasonable measures are taken to mitigate these vulnerabilities.

Measure 6. All contractors and visitors must check or sign in and out of designated facilities or areas within the facility that are considered key command, control or communications centers or areas.

Measure 7. Ensure existing security measures are in place and functioning such as fencing, locks, camera surveillance, intruder alarms, and lighting. Identify those additional security measures and resources that can enhance the security at the higher Threat Condition levels (e.g. increased surveillance).

Measure 8. Review procedures for receiving and disseminating information transmitted via the state agency emergency notification system (as required by Management Memo 02-09).

Measure 9. Establish local, regional and system-wide threat and warning dissemination process, emergency communications capability, and contact information with law enforcement and security officials, including CHP and local FBI Field Offices. Emergency communications should have redundancy in both hardware and means to contact security officials, law enforcement agencies, and mobile field command centers.

Measure 10. Develop terrorist and security awareness and provide information and educate employees on security standards and procedures. Caution employees not to talk with outsiders concerning their facility or related issues.

Measure 11. Advise all personnel at each facility to report the presence of unknown personnel, unidentified vehicles, vehicles operated out of the ordinary, abandoned parcels or packages, and any suspicious activities. Report suspicious information immediately to the California Highway Patrol

Measure 12. Develop procedures for shutting down and evacuation, or shelter in place, of facilities. Facilities located near critical community assets should be especially vigilant of security measures.

Measure 13. Incorporate security awareness and information into public education programs and notifications to emergency response organizations.

Measure 14. Survey *surrounding* areas to determine those activities that might increase the security risks that could affect the state facility (e.g. airports, government buildings, industrial facilities, pipelines.)

Measure 15. Ensure contingency and business continuity plans are current and include a response to terrorist threats.

Measure 16. Develop and implement hardware, software, and communications security for computer based operational systems.

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Recommended Protective Measures: BLUE – Guarded Condition

This condition is declared when there is a *general* risk of terrorist attacks.

Measure 17. Ensure that a response can be mobilized and review facility security plans and procedures including bomb threat, chemical, biological or radiological threat and evacuation procedures. Ensure plans incorporate EOD and tactical teams as necessary, including accessibility to explosive detection capabilities such as K-9 teams or electronic air sampling devices.

Measure 18. Inspect perimeter fencing and repair all fence breakdowns. In addition, review all outstanding maintenance and capital project work that could affect the security of facilities.

Measure 19. Review all operations plans, personnel details, and logistics requirements that pertain to implementing higher Threat Condition levels.

Measure 20. Inspect all CCTV/Video Camera/VCR equipment and intercom systems where applicable to ensure equipment is operational.

Measure 21. Review and ensure adequacy of personnel and ID issuance and control procedures.

Measure 22. Require each visitor to check in at designated facilities or areas within the facility that are consider key command, control or communications centers or areas and verify their identification. Be especially alert to repeat visitors or outsiders who have no apparent business at the facility and are asking questions about the facility or related issues including the facility's personnel. Be familiar with vendors who service the facility and investigate changes in vendor personnel.

Measure 23. Inspect emergency supplies to ensure equipment is in good working order.

Measure 24. Provide the public with any information that would strengthen its ability to act appropriately.

Measure 25. At regular intervals, remind all personnel to be suspicious and inquisitive about strangers, particularly those carrying suitcases or other containers. Watch for unidentified vehicles on or in the vicinity of facilities. Watch for abandoned parcels or suitcases and any unusual activity.

Measure 26. Consider on-scene emergency medical care in case of delayed outside assistance. (I.e., Basic First Aid and CPR employee training).

Measure 27. Review and familiarize staff with their respective agency Department Operation Centers (DOC's) or Emergency Operation Centers (EOC's) activation criteria and procedures.

Recommended Protective Measures: YELLOW – Elevated Condition

An Elevated Condition is declared when there is a *significant* risk of terrorist attacks.

Measure 28. Inform all security officials, with an operational need to know, of the increased threat. Communicate this information to agency employees who have an operational need to know. Reinforce awareness of responsibilities with employees.

Measure 29. Test security and emergency communications procedures and protocols. Post a Security Alert if appropriate. Check communications with designated emergency response or command locations.

Measure 30. Secure all buildings and storage areas not in regular use. Increase frequency of inspection and patrols within the facility including the interior of buildings and along the facility perimeter. Increase surveillance in areas considered key command, control or communications centers and areas such as truck docks, taxi lanes, and parking lots.

Measure 31. Check designated unmanned and remote sites at more frequent intervals for signs of unauthorized entry, suspicious packages, or unusual activities.

Measure 32. Reduce the number of access points for vehicles and personnel to minimum levels and periodically spot check the contents of vehicles at the access points. Be alert to vehicles parked for an unusual length of time in or near a facility.

Measure 33. Inspect all mail and packages coming into a facility. Do not open suspicious packages. Review the USPS "Suspicious Mail Alert" and the "Bombs by Mail" publications with all personnel involved in receiving mail and packages.

Measure 34. Network with CHP and local law enforcement intelligence units, i.e. FBI field offices, and liaison, as appropriate, with other departments.

Measure 35. Ensure that personnel with access to building plans and area evacuation plans be available at all times. Personnel should be able to seal off an area immediately. The staff required to implement security plans should be on call and readily available.

Measure 36. Increase security spot checks of vehicles and persons entering facilities.

Measure 37. Review and implement security measures for high-risk personnel, as appropriate.

Measure 38. Inform personnel of additional threat information as available. Implement procedures to provide periodic updates on security measures being implemented.

Measure 39. Ensure that an agency or facility response can be mobilized appropriately for the increased security level. Review communications procedures and back-up plans with all concerned.

Measure 40. Review with all facility employees the operations plans; personnel safety, security details, and logistics requirements that pertain to implementing increased security levels. Review notification/recall lists.

Measure 41. Confirm availability of security resources that can assist with 24/7 coverage as applicable.

Measure 42. Step up routine checks of unattended vehicles, scrutiny of packages and vehicles, and monitor critical facilities and key infrastructure to ensure they are properly secured.

Measure 43. Limit visitor access to key security areas and confirm that the visitor has a need to be there and is expected. All unknown visitors should be escorted while in these areas.

Measure 44. Advise CHP and local police agencies that the facility is at Elevated Condition (Yellow) and advise the measures being employed. Coordinate emergency plans as appropriate with nearby jurisdictions.

Measure 45. Resurvey the surrounding area to determine if activities near the facility could create emergencies and other incidents that could affect the facility (e.g. airports, government buildings, industrial facilities, railroads, other pipelines).

Measure 46. Instruct employees working alone at remote locations to check-in on a periodic basis.

Measure 47. Check to ensure all emergency telephone, radio, intercom, and satellite communication devices are in place and operational.

Measure 48. Direct all personnel at the facility to secure vehicles by locking them.

Measure 49. Interface with vendors and contractors to heighten awareness and report suspicious activity. Post signs or make routine public announcements that emphasize the need for all passengers to closely control baggage and packages to avoid transporting items without their knowledge.

Measure 50. Develop and implement a schedule for increasing the frequency of inspection including specific areas and item such as: telephone booths, garbage containers, and all public areas.

Measure 51. Assessing whether the precise characteristics of the threat require further refinement of the preplanned Protective Measures.

Measure 52. Implement, as appropriate, contingency and emergency response plans.

Measure 53. Keep all personnel involved in implementing antiterrorist contingency plans on call.

Measure 54. Secure and regularly inspect all buildings, rooms, and storage areas not in regular use.

Measure 55. At the beginning and end of each workday and at other regular and frequent intervals, inspect the interior and exterior of buildings in regular use for suspicious packages.

Measure 56. Examine mail (above the regular examination process) for letter or parcel bombs.

Measure 57. Check all deliveries to facility and loading docks.

Measure 58. Make staff and dependents aware of the general situation in order to stop rumors and prevent unnecessary alarm.

Measure 59. Operate random patrols to check vehicles, people, and buildings.

Measure 60. Implement additional security measures for high-risk personnel as appropriate.

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Recommended Protective Measures: ORANGE – High Condition

A High condition is declared when there is a *high* risk of terrorist attacks.

Measure 61. Move cars and objects (e.g. crates, trash containers) at least 25 meters from buildings (where possible) particularly highly populated, mission related, or high profile buildings. Consider centralized parking. Move automobiles and other non-stationary items from station and terminal perimeters and other sensitive buildings or areas. Identify areas where explosive devices could be hidden.

Measure 62. Close and lock gates and barriers except those needed for immediate entry and egress. Inspect perimeter fences on a regular basis. Ensure that other security systems are functioning and are available.

Measure 63. Increase security manpower for additional surveillance, to act as a deterrent and prevent unauthorized access to secure areas, deploy specialty/technical resources, and enact local tactical plans, if applicable. The areas recommended for additional patrols should include parking areas and loading docks. Increase surveillance of critical locations.

Measure 64. Continue Low, Guarded and Elevated measures or introduce those that have not already been implemented.

Measure 65. Reduce facility access points to the absolute minimum necessary for continued operation. Restrict threatened facility access to essential personnel only.

Measure 66. Advise CHP and local police agencies that the facility is at a High Condition (Orange) and advise the measures being employed.

Measure 67. Consult with CHP and local authorities about control of public roads and accesses that might make the facility more vulnerable to terrorist attack if they were to remain open. Take additional precautions at public events and possibly consider alternative venues or even cancellation.

Measure 68. Implement centralized parking and shuttle bus service where feasible.

Measure 69. Schedule more frequent visits to remote sites and other locations that are potentially impacted.

Measure 70. Increase the frequency of call-ins from remote locations. Employees should not work alone in remote areas.

Measure 71. Check all security systems such as lighting and intruder alarms to ensure they are functioning. Install additional, temporary lighting if necessary to adequately light all suspect areas or decrease lighting to detract from the area.

Measure 72. Identify the owner of all vehicles parked at key command, control, or communications areas or other critical areas/facilities/ and have all vehicles removed which are not identified.

Measure 73. Strictly enforce control of entry. Inspect all vehicles entering key areas/facilities including the vehicle's cargo areas, undercarriage, glove boxes, and other areas where dangerous items could be concealed.

Measure 74. Limit access to designated facilities to those personnel who have a legitimate and verifiable need to enter the facility. Implement a procedure for positive identification of all personnel, allowing no exceptions. Evacuate all non-essential personnel.

Measure 75. Implement frequent inspection of key areas or facilities including the exterior and roof of all buildings and parking areas. Increase patrolling at night and ensure all vulnerable critical points are fully illuminated and secure.

Measure 76. Review procedures and make necessary preparations to activate Command Center(s) where applicable. Prepare to execute contingency procedures, such as moving to an alternate site or dispersing the workforce.

Measure 77. Coordinate security efforts with the California Highway Patrol. This should include enhancements to security efforts with Federal, State, and local law enforcement agencies or any National Guard or other appropriate armed forces organizations. **NOTE:** Any resource taskings will be in accordance with current policies and procedures.

Measure 78. Keep all personnel responsible for implementing antiterrorist plans on call.

Measure 79. Enforce centralized parking of vehicles away from buildings.

Measure 80. Increase patrolling of the facilities.

Measure 81. Protect all designated vulnerable points.

Recommended Protective Measures: RED – Severe Condition

A Severe Condition reflects a *severe* risk of terrorist attacks.

Measure 82. Increase security patrol activity to the maximum level sustainable. Increase perimeter patrols and inspections of facility.

Measure 83. Postpone or cancel all non-vital facility work conducted by contractors, or continuously monitor their work as applicable.

Measure 84. Continue all Low, Guarded, Elevated and High Condition measures or introduce those that have not already been implemented.

Measure 85. Implement emergency and continuity plans as appropriate. Reduce restricted area access points to an operational minimum.

Measure 86. Augment security forces to ensure absolute control of key command, control or communications centers or areas and other potential target areas. Establish surveillance points and reporting criteria and procedures.

Measure 87. Remove unattended, unauthorized vehicles parked within 300 feet of a terminal building or station where passengers load or unload.

Measure 88. Increase or redirect personnel to address critical emergency needs.

Measure 89. Identify all vehicles within operational or mission support areas.

Measure 90. Search all vehicles and their contents before allowing entrance to facilities.

Measure 91. Control access and implement positive identification of all personnel.

Measure 92. Search all suitcases, briefcases, packages, etc., brought into the facility.

Measure 93. Conduct frequent checks of building exteriors and parking areas.

Measure 94. Minimize all administrative journeys and visits.

Measure 95. Coordinate the possible closing of public access roads and/or facilities with CHP and local authorities.

Conclusion

Each State department and agency is responsible for determining what actions and plans are appropriate to that department or organization. Along with emergency response preparation, each state department and agency should ensure Continuity of Government and Continuity of Operations. The above guidelines should be used as a catalyst for the review, refinement, and modification of existing emergency and business resumption plans, as needed. Contact the Governor's Office of Emergency Services for further assistance on emergency planning issues, or the California Highway Patrol for physical security issues.